

Subordinate Standard Program		
Responsible Care (Including RC14001 and RCMS) CB Application for Accreditation		
AUTHORITY: Accreditation Manager	EFFECTIVE DATE: 02 November 2010	DOCUMENT NUMBER: FA 2002.06

Section 1: CB Name, Contact Information, and Processing Fees

CB name:

Street address:

City:

State/province:

Postal code:

Country:

Name of person completing application:

E-mail:

RC14001/RCMS application fee: \$2,500

Fees are payable when purchasing application

Application and all supporting documents shall be submitted in English.

Instructions on application process are at www.anab.org; click on Become a Certification Body.

Application shall be obtained through ANAB's Enterprise Quality Manager (EQM) database at <http://anab.remoteauditor.com> and completed electronically (including submission of all supporting evidence) and submitted to ANAB via EQM. Instructions on how to obtain and upload the application in EQM can be found at www.anab.org; under Documents, select Heads Up and click on issue 72.

If the completed application is not accepted by ANAB after three reviews, the application will be declined. The CB may re-apply (including payment of application fees) after 60 days.

A CB (also referred to as an Audit Service Provider or ASP in the RC documents) applying for RC accreditation (including RC14001 and RCMS) shall be EMS accredited by ANAB or in application, or be EMS accredited by the Standards Council of Canada (SCC).

All RC14001 and RCMS requirements for CB accreditation can be found in the RC documents, which can be obtained at www.responsiblecaretoolkit.com.

Section 2: Responsible Care Requirements for CBs

Provide evidence that the CB's certification system includes the requirements of Responsible Care.

Requirement	To Be Completed by CB		To Be Completed by ANAB
	Reference to Supporting Document(s) Including Specific Section References	Comment/Response	Comment/Response
1. Provide date of EMS accreditation.	Initial Response		
			Approved?
	Second Response		
			Approved?
2. Provide contact names and information, and attest to ASP's current and intended conformance with American Chemistry Council (ACC) requirements, including designation of staff member as primary contact on all matters related to certification assessments. Requirement: RC204, Sections 3.1 and 4.1.10	Initial Response		
			Approved?
	Second Response		
			Approved?
3. Provide evidence that ASP is a legal entity. Requirement: RC204, Section 4.1.2	Initial Response		
			Approved?
	Second Response		
			Approved?
4. Provide evidence that financial arrangements exist to cover any ASP liabilities arising from its operations and/or activities. Requirement: RC204, Section 4.1.3	Initial Response		
			Approved?
	Second Response		
			Approved?
5. Provide evidence that ASP has separate policies and procedures to ensure independence of ASP processes from any other service activities, such as consulting and training. Requirement: RC204, Section 4.1.4	Initial Response		
			Approved?
	Second Response		
			Approved?
6. If audit is carried out by ASP that is a legal entity that is part of a larger organization, links with other parts of larger organization and relevant information on activities performed by other parts of larger organization must be provided.	Initial Response		
			Approved?
	Second Response		
			Approved?
	Final Response		

Requirement: RC204, Section 4.1.4.1		Approved?
7. Provide evidence that ASP has policies and procedures that distinguish between auditing and any other activities in which the larger organization engages (such as training, consulting, etc.). Requirement: RC204, Section 4.1.4.2	Initial Response	Approved?
	Second Response	Approved?
	Final Response	Approved?
		Approved?
8. Provide evidence that ASP ensures none of its clients is given impression that use of other services would bring any business advantage to the client. Requirement: RC204, Section 4.1.4.3	Initial Response	Approved?
	Second Response	Approved?
	Final Response	Approved?
		Approved?
9. Provide evidence that ASP says nothing to suggest or indicate that an audit would be simpler, easier, or less expensive if any other services offered by ASP or its parent organization were purchased. Requirement: RC204, Section 4.1.4.4	Initial Response	Approved?
	Second Response	Approved?
	Final Response	Approved?
		Approved?
10. Provide evidence that ASP does not market any other services and audit together. Nothing shall be indicated in any written or oral marketing material to give impression that these activities are linked. Requirement: RC204, Section 4.1.4.5	Initial Response	Approved?
	Second Response	Approved?
	Final Response	Approved?
		Approved?
11. Provide evidence ASP will not be retained to audit a Responsible Care® management system for which ASP or an affiliated entity has provided consulting services within preceding two years. Requirement: RC204, Section 4.1.4.6	Initial Response	Approved?
	Second Response	Approved?
	Final Response	Approved?
		Approved?
12. Provide evidence that ASP has policies and procedures to ensure its auditors meet ACC requirements for auditor qualifications, training, and continuing professional development (see RC205.04). Requirement: RC204, Section 4.1.5	Initial Response	Approved?
	Second Response	Approved?
	Final Response	Approved?
		Approved?
13. Provide evidence that ASP has policies and procedures to ensure strict confidentiality of audits, audit records, and any organization documents obtained as part of audit process.	Initial Response	Approved?
	Second Response	Approved?
	Final Response	Approved?
		Approved?

Requirement: RC204, Section 4.1.6		Approved?
14. Provide evidence that ASP has policies and procedures for resolution of complaints, appeals, and disputes received from any organization related to any aspect of certification audit. Requirement: RC204, Section 4.1.7	Initial Response	Approved?
	Second Response	Approved?
	Final Response	Approved?
		Approved?
15. Provide evidence that ASP has quality assurance policy and procedures in place for all activities associated with RC14001 certification activities, including all accreditation requirements for ISO 14001 certification activities. Requirement: RC204, Sections 4.1.8 and 4.1.12	Initial Response	Approved?
	Second Response	Approved?
	Final Response	Approved?
		Approved?
16. Provide evidence that ASP has quality assurance policy and procedures in place for all activities associated with RCMS certification activities. Requirement: RC204, Sections 4.1.8 and 4.1.12	Initial Response	Approved?
	Second Response	Approved?
	Final Response	Approved?
		Approved?
17. Provide documented references from previous clients attesting to ASP's qualifications and performance. Requirement: RC204, Section 4.1.9	Initial Response	Approved?
	Second Response	Approved?
	Final Response	Approved?
		Approved?
18. Provide credentials for RC14001 auditors, including certification documentation. Requirement: RC205	Initial Response	Approved?
	Second Response	Approved?
	Final Response	Approved?
		Approved?
19. Provide credentials for RCMS auditors, including certification documentation. Requirement: RC205	Initial Response	Approved?
	Second Response	Approved?
	Final Response	Approved?
		Approved?
20. Provide formal documentation that ASP meets requirements for audit days for an RC14001 or RCMS audit.	Initial Response	Approved?
	Second Response	Approved?
		Approved?

Requirement: RC201, Appendix 8.5	Final Response	
		Approved?
21. Provide model of accredited certificate to be issued to RC14001-certified organizations, with clear indications of (a) separation of ISO 14001 and RC14001 and (b) validity period, including expiration date.	Initial Response	
		Approved?
	Second Response	
		Approved?
Requirement: ISO/IEC 17021, Section 8.2	Final Response	
		Approved?
22. Provide model of accredited certificate to be issued to RCMS-certified organizations with clear indication of validity period, including expiration date.	Initial Response	
		Approved?
	Second Response	
		Approved?
Requirement: ISO/IEC 17021, Section 8.2	Final Response	
		Approved?
23. Provide evidence that ASP requires (a) implementation of satisfactory and effective corrective action for all major nonconformances and (b) ASP must verify implementation prior to issuing an accredited certificate for RC14001 or RCMS.	Initial Response	
		Approved?
	Second Response	
		Approved?
Requirement: RC201, Sections 4.5.3 and 4.6.3	Final Response	
		Approved?
24. Provide evidence that ASP agrees to periodic witnessed audits by ANAB (accreditation body). Requirement: RC204, Section 3.3.1	Initial Response	
		Approved?
	Second Response	
		Approved?
Requirement: RC204, Section 3.3.1	Final Response	
		Approved?
25. Provide blank copy of contractual agreement for ASP clients that requires that client provide access to an accreditation body representative and ACC to witness ASP's audit team at client's site. Note: ANAB will determine only that requirement is address, not make judgment as to legal implications of contract.	Initial Response	
		Approved?
	Second Response	
		Approved?
Requirement: RC204, Section 4.2	Final Response	
		Approved?

Section 3: SCC Accredited CBs

For CBs that are not accredited by ANAB but are EMS accredited by SCC, provide the following information, which ANAB shall review to determine the type of initial assessments required for Responsible Care accreditation by ANAB (see Section 4).

Not applicable – mark X at left if CB is already EMS accredited by ANAB and proceed to Section 4.

Requirement	To Be Completed by CB		To Be Completed by ANAB
	Reference to Supporting Document(s) Including Specific Section References	Comment/Response	Comment/Response
1. Provide executed Certification Body Agreement for Cooperative Accreditation to allow ANAB and SCC to cooperate in regard to CB's SCC EMS accreditation. If you do not have a copy of form, contact ANAB.	Initial Response		
	Mark X at left for not applicable if CB has executed MCAA with ANAB and SCC.		Approved?
	Second Response		
			Approved?
2. Provide copy of CB's SCC EMS accreditation certificate including any attachments.	Initial Response		
			Approved?
	Second Response		
			Approved?
3. Provide most recent EMS office assessment report (conducted within last 12 months) including all attachments.	Initial Response		
			Approved?
	Second Response		
			Approved?
4. Provide any NCRs and corrective actions and SCC's review of such actions from most recent SCC EMS office assessment (as identified in item 3 directly above).	Initial Response		
			Approved?
	Second Response		
			Approved?
	Final Response		
			Approved?
	Final Response		
			Approved?

Section 4: Responsible Care Initial Audits

ANAB requires initial witnessed audits for accreditation for Responsible Care. The witnessed audit must include a Stage 1 and Stage 2 RC14001 certification audit at a suitable organization. A suitable organization would be an organization member of ACC. If the organization is not an ACC member, contact ANAB to determine suitability.

For RCMS: All CBs must undergo an initial qualification full-system witnessed audit within the first three RCMS audits conducted by the CB. This witnessed audit does not have to take place prior to RC accreditation.

Section 5: CB Management Endorsement

Submission steps:

1. Verify responses to all questions are complete and all required information (attachments) is included.

2. Upload application to EQM (<http://anab.remoteauditor.com>). Instructions on how to upload the application and supporting evidence to EQM can be found at www.anab.org; under Documents, select Heads Up and click on issue 72.
3. The initial (off site) document review takes approximately two weeks.
4. The CB will be notified when the review is complete.

CB management who completed the application and determined that the information meets all applicable requirements:

Name:

Title:

Date: